

03/01/02

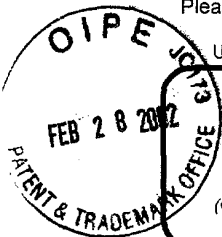
PTO/SB/05 (08/00)

Please type a plus sign (+) inside this box ☐

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	11301-1481
First Inventor	Sato, et al.
Title	Process for the Preparation of Urethan Resins and Urethane Resin Compositions
Express Mail Label No.	EL 789316864 US

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

☐ APPLICANT REQUESTS EARLY PUBLICATION UNDER 37 CFR 1.219 (additional fee)

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
 - ☐ Applicant claims small entity status
 - ☒ Specification [Total Pages **140**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed. Sponsored R&D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
 - ☒ Drawing(s) (35 USC 113) [Total Sheets **2**]
 - Oath or Declaration [Total Pages **3**]
 - ☐ Newly Executed (original or copy)
 - ☒ Copy from a prior application (37 CFR §1.63(d))
(for continuation/divisional with Box 18 completed)
 - ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
 - ☐ Application Data Sheet See 37 CFR 1.76
- Assignee
Name and Address
(if applicable)

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Copy (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ Paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & Documents(s))
- ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☒ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent
- ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: **09/242,525**
Prior application information: **Examiner Rabon Sergeant** Group / Art Unit: **17/1**

For CONTINUATION OR DIVISIONAL APPS only the entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts

18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label **24504** or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

NAME	George M. Thomas		
	Thomas, Kayden, Horstemeyer & Risley, L.L.P.		
ADDRESS	100 Galleria Parkway Suite 1750		
CITY	Atlanta	STATE	Georgia
COUNTRY	U.S.A.	TELEPHONE	770-933-9500
		ZIP CODE	30339-5948
		FAX	770-951-0933

Name (Print/Type)	George M. Thomas	Registration No. (Attorney/Agent)	22,260
Signature		Date	2/26/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete If Known

Application Number	To be assigned
Filing Date	
First Named Inventor	Sato, et al.
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket No.	113010-1481

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **20-0778**

Deposit Account Name **Thomas Kayden Horstemeyer Risley LLP**

☒ Charge any Additional Fee required under 37 C.F.R. 1.16 and 1.17.

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ **Payment Enclosed:**
☐ Check ☐ Money Order ☒ Credit Card ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	\$740
106	330	206	165	Design filing fee	\$
107	510	207	255	Plant filing fee	\$
108	740	208	370	Reissue filing fee	\$
114	160	214	80	Provisional filing fee	\$

SUBTOTAL (1) (\$)**740.00**

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
5	-20**= 0	9.00	0

Independent Claims	Extra Claims	Fee from below	Fee Paid
3	-3**= 0	42.00	0

Multiple Dependent	Extra Claims	Fee from below	Fee Paid
		140.00	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent Claims in excess of 3
104	280	204	140	Multiple dependent claims in excess of 3
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

** or number previously paid, if greater; For Reissues, see above

SUBTOTAL (2) (\$)**0**

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex-parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension of time within second month	
117	920	217	460	Extension of time within third month	
118	1,440	218	720	Extension of time within fourth month	
128	1,960	228	980	Extension of time within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (time number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Typed or Printed Name

George M. Thomas

Registration No **22,260**
(Attorney/Agent)

Telephone Number

770-933-9500

Signature

George M. Thomas

Date

2/26/02

Deposit Account
User ID

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENTS

In re: **Sato, et al.**

For: **Process for Preparation of Urethane Resins and Urethane Resin Compositions**

CERTIFICATE OF EXPRESS MAIL

Assistant Commissioner for Patents
BOX: Patent Application
Washington, D.C. 20231

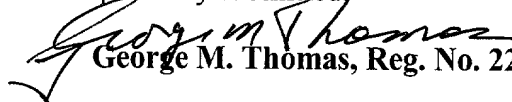
Sir:

Enclosed for filing in the above case are the following documents:

Return Postcard
Utility Patent Application Transmittal Page
Fee Transmittal Page
Utility Patent Application Consisting Of:
127 Pages of Specification
12 Pages of Claims (Claims 1-45)
1 Page of Abstract
2 Pages of Formal Drawings (Figs. 1 and 2)
Copy of Declaration from parent application
Statement Under 37 C.F.R. 3.73 Identifying Assignee
Copy of Assignment from parent application
Preliminary Amendment
Credit Card Authorization Form in the amount of \$740.00

Further, the Commissioner is authorized to charge Deposit Account No. 20-0778 for any additional fees required. The Commissioner is requested to credit any excess fee paid to Deposit Account No. 20-0778.

Respectfully submitted


George M. Thomas, Reg. No. 22,260

**THOMAS, KAYDEN, HORSTEMEYER
& RISLEY, L.L.P.**

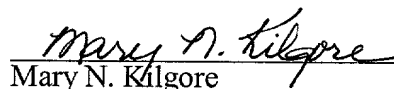
100 Galleria Parkway, N.W.
Suite 1750
Atlanta, Georgia 30339-5948

Our Docket No: **11301-1481**

I hereby certify that all correspondence listed above are being deposited for delivery to the above addressee, with the United States Postal Service **"EXPRESS MAIL POST OFFICE TO ADDRESSEE"** service under 37 CFR §1.10 on the date indicated below:

The envelope has been given U.S. Postal Service "Express Mail Post Office To Addressee" Package # **EL 789316864 US**.

Date: 02-28-02


Mary N. Kilgore

EL 789316864US

PATENT IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Sato et al.

Group Art Unit: 1711

Serial No.: 09/242,525

Examiner: Sergeant, R.

Filed: 02/17/99

Docket No.: Docket: 11301-1481

For: PROCESS FOR THE PREPARATION OF
URETHAN RESINS AND URETHANE RESIN
COMPOSITIONS

I hereby certify that this correspondence is being deposited with the
United States Postal Service as ~~first class mail~~ ^{EXPRESS MAIL}, postage prepaid, in an
envelope addressed to: Assistant Commissioner for Patents,

Washington D.C. 20231, on 02-28-02

Mary N. Kilgore EL 789316864-US
Signature/Mary N. Kilgore

STATEMENT UNDER 37 C.F.R. 3.73 IDENTIFYING ASSIGNEE

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Applicant/assignee hereby submits its Statement Under 37 C.F.R. 3.73, establishing the
right of assignee to take action in the above identified patent application.

The applicant/assignee submits herewith the Assignment of the parent application, serial no.
09/242,525 from the inventors to assignee, as recorded in the Office on February 17, 1999, at
Reel/Frame: 010315/0666.

The undersigned attorney is authorized to act on behalf of the assignee.

Respectfully submitted,

By:

George M. Thomas
George M. Thomas, Reg. No. 22,240

**THOMAS, KAYDEN, HORSTEMEYER
& RISLEY, L.L.P.**

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Docket No. 11301-1481